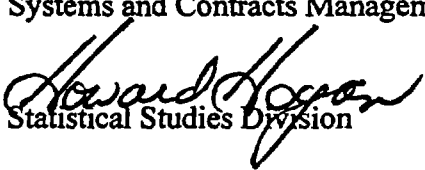March 21, 2000   **MASTER FILE**

DSSD CENSUS 2000 PROCEDURES AND OPERATIONS MEMORANDUM SERIES #L-4

MEMORANDUM FOR	Michael Longini Chief, Decennial Systems and Contracts Management Office
From:	Howard Hogan Chief, Decennial Statistical Studies Division
Subject:	Specification for Census 2000 Initial Response Rate Calculation
Contact Persons:	James B. Treat, DSSD, Room 2-2120B, (301) 457-4296 C. Robert Dimitri, DSSD, Room 2-2228, (301) 457-8026

This memorandum defines the housing unit universe of records to be used in the calculation of initial response rate that will be posted daily on the Census 2000 Initial Response Rate internet site based on specified Decennial Master Address File (DMAF) variable values. The initial response rate is updated daily from March 27, 2000 through April 11, 2000. No new posts are made for a week, and then a final posting of initial response rates appears on April 18, 2000. The Census 2000 Initial Response Rate can never decrease in value from one post to the next; it is always stable or increasing. This same initial response rate will also be calculated for the Management Information System Cost and Progress (MIS C & P) reports and for the Technology Management Office/Field Division Operations Control System/2000 (TMO/FLD OCS2000) reports. However, the Census 2000 Initial Response Rates to be posted on the internet have one critical difference with regard to the April 18 post: the initial response rates for the other two products are allowed to drop for that final calculation of the rate. For a less technical definition of this rate and a general discussion of the procedures involved in the postings, see "Documentation of Response and Return Rates Definitions for Census 2000," which is contained in the same memorandum series as this document. At the time this memorandum was produced, that memorandum documenting the rate definitions was still in draft form.

Initial response rates are calculated by dividing the numerator by the denominator, multiplying by 100, and rounding the result to the nearest whole integer.

For the internet postings of March 27 through April 11, a constant denominator that corresponds to those housing units that were on the DMAF as of the March 23, 2000 update to the DMAF will be used. However, for the posts on April 18, the initial response rate denominator will reflect the DMAF as of the April 7, 2000 update. If that update would cause the initial response

rate to decrease, then the April 18 rate will be the same as the April 11 rate. To be part of the denominator, a housing unit must satisfy the following criteria. (See Attachment 1 for a list of the DMAF variables referenced below and their values.) The housing unit must be a part of the universes described in steps A and B below, but it can not be a member of that universe's subset described in step C.

A.   The housing unit must appear in one of the entities of interest. Geography Division (GEO) and Decennial Statistical Studies Division (DSSD) created a file which describes all of the governmental units as of January 1, 1999. This file can be found at DMBA01::DSSD_CD:[C_DIMITRI.90PLUS5]IRGOALUS.DAT. The layout for that file can be found in Attachment 2. This file provides geocode information for all of the entities for which we wish to generate a Census 2000 Initial Response Rate.

    Some entities that GEO provided were found to have seven housing units or fewer as of the January 2000 update to the DMAF. These entities are not included in the universe.

B.   The housing unit must fall under one of the applicable blocks found on the DMAF. GEO will produce a universe file of blocks which contain mailback areas (TEAs 1, 2, 6, 7, and 9) for the governmental entities defined in step A above. Block variables found in the Collection GRFC Index File section of the DMAF can be used by (DSCMO) to identify the appropriate corresponding housing units for each entity that will have a calculated initial response rate.

    A given housing unit qualifies for the denominator if corresponding block variables in the Collection GRFC Index File portion of the DMAF satisfy...

        ...the applicable blocks (provided for DSCMO by GEO) defined for the project via variables **BKN** and **BKP** and linked back to the step A geocode universe via variables **CST, CCOU, MCD, PLACE, AIR,** and **CCITY**

        AND

        (TEA = 1 *or* 2 *or* 6 *or* 7 *or* 9).

C.   Within the defined universe from steps A and B (governmental entities and their mailback blocks), the following criteria categorize addresses which are **excluded** from the Census 2000 Initial Response Rate denominator. There is an initial response rate denominator for each of the entities described in step A, and the housing units within each of those denominators must meet the criteria of A and B without satisfying the two conditions of step C. The first of these conditions loosely corresponds to the condition which determines the ineligibility of housing units for nonresponse followup (NRFU), as defined in DSSD CENSUS 2000 PROCEDURES AND OPERATIONS MEMORANDUM #BB-4R (Revised), "Specification for Identifying the Nonresponse

Followup Universe for Census 2000," with a slight change in the universe.

1. Housing Units Ineligible for NRFU (Except Those in Certain Experimental Panels)

    Exclude those addresses which were not eligible for NRFU, unless they were a part of panels 7, 8, or 9 of the Response Mode and Incentive Experiment. Addresses in these experimental panels were mailed questionnaires but are designated to receive an alternative treatment in the case of nonresponse.

    In terms of the DMAF variables, a given housing unit should be excluded from the initial response rate denominator if the corresponding housing unit variable from the Master Address File (MAF) Status Record portion of the DMAF satisfies...

    MNRE = N

    ...**unless** the corresponding housing unit variable from the DMAF Operational Files portion of the DMAF satisfies...

    REXPAN = 26 *or* 27 *or* 28.

2. Incomplete Addresses

    Exclude those housing units in mailout areas for which the address information was incomplete. These were not delivered a mailout/mailback questionnaire.

    In terms of the DMAF variables, a given housing unit should be excluded from the initial response rate denominator if corresponding housing unit variables from the DMAF Operational Files portion of the DMAF satisfy...

    (TEA = 1 *or* 6)

    AND

    UAA = 8.

A given housing unit qualifies for the Census 2000 Initial Response Rate numerator if it satisfies the above criteria for the denominator (steps A, B, and C) and if corresponding DMAF Operational File records satisfy...

(MAILS = 1 *or* 2 *or* 3 *or* 4)

AND

MAILD ≤ 0418 *AND* (**MAILD** ≠ 0000 *or* 0099).

Note: April 18, 2000, is the date currently used as the late cut for NRFU to determine whether or not we count a given housing unit as a respondent.

Again, a Census 2000 Initial Response Rate will be calculated for each of the entities described in step A by dividing the number of housing units in the numerator by the number of housing units in the denominator, multiplying by 100, and rounding to the nearest whole integer. The Census 2000 Initial Response Rate can never decrease from one posting to the next.

Attachment

cc: DSSD Census 2000 Procedures and Operations Memorandum Series Distribution List

E. Gore	DMD	J. Marinucci	GEO
B. Tinari	"	L. Ramirez	"
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D. Stoudt	DSCMO	T. Berti	"
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DMAF Variables and Values

From the Collection GRFC Index File

BKN	Collection Block Number
BKP	Block Part
TEA	Type of Enumeration Area

      1 = Mailout Mailback   5 = Update Enumerate

      2 = Update Leave   6 = Military in Update Leave Area

      3 = List Enumerate   7 = Urban Update Leave

      4 = Remote List Enumerate   9 = Update Leave (converted from TEA 1)

CST	Current FIPS State Code
CCOU	Current FIPS County Code
MCD	Minor Civil Division Code
PLACE	Census Incorporated Place Code
AIR	American Indian Reservation Code
CCITY	Consolidated City Code

From the MAF Status Record

MNRE   NRFU Eligibility Flag

      Y = good census address, not RMIE address

      N = bad census address, RMIE address thus not NRFU-eligible

From the DMAF Operational Files

MAILD   Mail Return Check-in Month and Day

      0000 = No Mail Return Check-in

      0099 = Reverse Check-in

      0101 - 1231 = Check-in Day of 1st return

MAILS   Mail Check-in Source

      0 = No return

      1 = Mailback

      2 = CATI

      3 = Internet

      4 = Be Counted

UAA   Undeliverable as Addressed

                             0 = No UAA Checkin
                             1 = UAA checkin in NPC only
                             2 = UAA checkin in NPC; in LCO checkin; no LCO checkout
                             3 = UAA checkin in NPC; no LCO checkin; in LCO checkout
                             4 = UAA checkin in NPC; in LCO checkin; in LCO checkout
                             5 = No UAA checkin in NPC; in LCO checkin; no LCO checkout
                             6 = No UAA checkin in NPC; no LCO checkin; in LCO checkout
                             7 = No UAA checkin in NPC; in LCO checkin; in LCO checkout
                             8 = Not enough address information -- Excluded from Mail

REXPAN   R&E Panel Numbers (only the applicable values for this specification)

                26 = S-900.1 NRFU, incentive, CATI   RMIE
                27 = S-900.1 NRFU, incentive, ASQ   RMIE
                28 = S-900.1 NRFU, incentive, internet RMIE

Layout for Census 2000 Initial Response Rate Entity File

Field	Position	Description
Entity Type	1-2	Values: 06 = State or equivalent entity 07 = County or equivalent entity 08 = Minor Civil Division (MCD) 11 = Consolidated city (CC) 12 = Incorporated place 16 = American Indian entity (AI)
State Code	4-5	Two digit state code (blank for AIs)
County Code	7-9	Three digit county code (counties and MCDs only)
MCD Code	11-13	Three digit MCD code (MCDs only)
Place Code	15-18	Four digit Incorporated place code (incorporated places and CCs only)
CC Code	19	One character CC code (CCs only)
AI Code	20-23	Four-digit AI code (AIs only)
Name	25-84	Entity name (with appended description for all entities and county name for all MCDs and duplicate place names)
1990 Response Rate	86-88	1990 response rate (1999 geography based)
2000 Target Rate	90-92	2000 Initial Response Rate goal (1990 Response Rate plus five percentage points)
Default Rate Flag	94	Y or N (Were the default rates of 65 and 70 percent assigned for the 1990 response rate (1999 geography based) and 2000 target rates due to lack of a 1990 response rate (1990 geography based)?)
Boundary Change	96	Y or N (Did the entity experience a boundary change since 1990?)